



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: PEIDONG YANG, et al.  
Serial No.: 10/822,148  
Filed: APRIL 8, 2004  
For: FLUIDIC NANOTUBES AND DEVICES  
Group:  
Examiner:  
Docket No.: UC03-392-2

**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22213-1450**

**ASSIGNEE CERTIFICATION UNDER 37 C.F.R. 3.73(b)**

Dear Sir:

In accordance with 37 C.F.R. 3.73(b), the assignee hereby certifies that the evidentiary documents with respect to its ownership have been reviewed and that, to the best of the assignee's knowledge and belief, title is in the assignee seeking to take this action.

Dated: August 23, 2004

ASSIGNEE: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

Signature: 

Typed Name: Linda S. Stevenson

Title: Manager, Patent Prosecution  
Office of Technology Transfer  
University of California  
1111 Franklin Street, 5<sup>th</sup> Floor  
Oakland, CA 94607-5200



## CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that the foregoing:

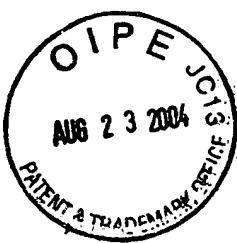
Assignee Certification Under 37 CFR 3.73(b)

is being deposited with the United States Postal Service on 8/23/04 in  
an envelope as "Express Mail Post Office to Addressee" Mailing Label Number  
EV352301769US addressed to the: Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313-1450.

JOHN P. O'BANION

(Type or print name of person mailing paper)

  
  
(Signature of person mailing paper)



**PATENT**

Applicant: PEIDONG YANG, et al.  
Serial No.: 10/822,148  
Filed: APRIL 8, 2004  
Title: FLUIDIC NANOTUBES AND DEVICES  
Group: 2811  
Examiner:  
Docket No. UC03-392-2

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22213-1450

**COMBINED DECLARATION AND POWER OF ATTORNEY**

*(ORIGINAL, DESIGN, SUPPLEMENTAL, NATIONAL STAGE OF PCT, DIVISIONAL,  
CONTINUATION OR CONTINUATION-IN-PART)*

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As a below named inventor, I hereby declare that:

**TYPE OF DECLARATION**

This declaration is of the following type:

- ☒ original (regular)
- ☐ design
- ☐ supplemental-continuation of PCT Application in the U.S.

NOTE: If the declaration is for an International Application being filed as a divisional, continuation, or continuation-in-part, do not check the next item; check appropriate one of last three items.

- ☐ national stage of PCT
- ☐ divisional
- ☐ continuation
- ☐ continuation-in-part

**INVENTORSHIP IDENTIFICATION**

WARNING: If the inventors are each not the inventors of all of the claims, an explanation of the facts, including the ownership of all the claims at the time the last claimed invention was made, should be submitted.

My residence, post office address, and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention described in

### SPECIFICATION IDENTIFICATION

- ☐ the specification filed herewith by the above-named inventors, with the title listed above.
- ☐ the specification filed herewith by the above-named inventors, with the title listed above, and which was amended by the Preliminary Amendment filed herewith.
- ☒ the specification identified above, as amended by the First Preliminary Amendment on April 8, 2004.
- ☐ the specification identified above, and which was amended on \_\_\_\_\_.
- ☐ PCT International Application No. \_\_\_\_\_ filed on \_\_\_\_\_, and amended under PCT Article 19 on \_\_\_\_\_ (if applicable).

### ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56.

### PRIORITY CLAIM (35 U.S.C. § 119(a)-(d))

I hereby claim foreign priority benefits under 35 U.S.C. §§ 119(a)-(d) of any foreign application(s) for patent or inventor's certificate or under 35 U.S.C. § 365(b) of any PCT international application(s) designating at least one country other than the United States of America listed below, and have also identified below any foreign application(s) or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed.

- X no such applications have been filed.
- such application have been filed as follows.

### PRIOR FOREIGN/PCT APPLICATION(S) FILED WITHIN 12 MONTHS (6 MONTHS FOR DESIGN) PRIOR TO THIS APPLICATION AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. § 119(a)-(d)

COUNTRY (OR INDICATE IF PCT)	APPLICATION NUMBER	FILING DATE (day, month, year)	PRIORITY CLAIMED UNDER 37 U.S.C. § 119	
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO
			<input type="checkbox"/> YES	<input type="checkbox"/> NO

**CLAIM FOR BENEFIT OF PRIOR U.S. PROVISIONAL APPLICATION(S)  
(35 U.S.C. § 119(e))**

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional applications (s) listed below:

PROVISIONAL APPLICATION SERIAL NUMBER      FILING DATE OF PROVISIONAL APPLICATION

60/461,346	April 8, 2003
60/454,038	March 11, 2003
60/432,104	December 9, 2002

**CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATIONS  
UNDER 35 U.S.C. 120**

(complete this part only if this is a divisional, continuation, CIP or national stage of PCT)

I/We hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability under 37 C.F.R. § 1.56, which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application.

**PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS  
DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:**

**1. U.S. Applications:**

SERIAL NUMBER	FILING DATE
10/731,745	December 8, 2003

**2. PCT Applications Designating The U.S.**

PCT APPLICATION NUMBER	PCT FILING DATE	U.S. SERIAL NUMBER

### POWER OF ATTORNEY

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the United States Patent and Trademark Office connected therewith.

John P. O'Banion	Registration No. 33,201
James M. Ritchey	Registration No. 32,594
James C. Peacock III	Registration No. 40,124
Steven L. Smith	Registration No. 44,343
Rodger H. Rast	Registration No. 45,853
Richard M. Wiesner	Registration No. 48,748

— Attached as part of this declaration and power of attorney is the authorization of the above-named attorney to accept and follow instructions from my representative(s).

#### SEND CORRESPONDENCE TO:

##### CUSTOMER NUMBER 8156

John P. O'Banion  
O'BANION & RITCHEY LLP  
400 Capitol Mall, Suite 1550  
Sacramento, CA 95814

#### DIRECT TELEPHONE CALLS TO:

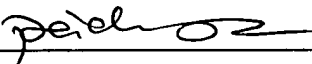
John P. O'Banion  
(916) 498-1010

### DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

### SIGNATURE(S)

Full name of sole or first inventor: PEIDONG YANG

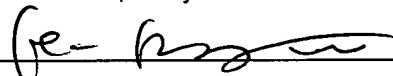
Inventor's Signature: 

Date: 07/27/04 Country of Citizenship: PEOPLES REPUBLIC OF CHINA

Residence: BERKELEY, CALIFORNIA

P.O. Address: ~~2451 CALIFORNIA STREET~~ 8118 Terrace Dr.  
~~BERKELEY, CA 94703~~ El Cerrito, CA 94530

Full name of second joint inventor, if any: RONGRUI HE

Inventor's Signature: 

Date: 07/26/04 Country of Citizenship: PEOPLES REPUBLIC OF CHINA

Residence: EL CERRITO, CALIFORNIA

P.O. Address: 3320 BELMONT AVENUE, APT. D  
EL CERRITO, CA 94703

Full name of second joint inventor, if any: JOSHUA GOLDBERGER

Inventor's Signature: 

Date: 7/26/09 Country of Citizenship: UNITED STATES OF AMERICA

Residence: BERKELEY, CALIFORNIA

P.O. Address: 1329 HENRY STREET, APT. 1B  
BERKELEY, CA 94709

Full name of second joint inventor, if any: RONG FAN

Inventor's Signature: 

Date: 7/27/2004 Country of Citizenship: PEOPLES REPUBLIC OF CHINA

Residence: EL CERRITO, CALIFORNIA

P.O. Address: ~~5550 CENTRAL AVENUE, #7~~ 3101 Carlson Blvd, Apt 1,  
EL CERRITO, CA 94850

Full name of second joint inventor, if any: YIYING WU

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Country of Citizenship: PEOPLES REPUBLIC OF CHINA

Residence: ALBANY, CALIFORNIA

P.O. Address: 257 WILSON STREET  
ALBANY, CA 94710

Full name of second joint inventor, if any: DEYU LI

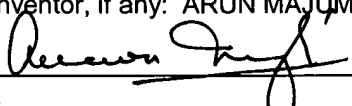
Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Country of Citizenship: PEOPLES REPUBLIC OF CHINA

Residence: ALBANY, CALIFORNIA

P.O. Address: 435 GOODING WAY, #460  
ALBANY, CA 94706

Full name of second joint inventor, if any: ARUN MAJUMDAR

Inventor's Signature: 

Date: 8/5/04 Country of Citizenship: UNITED STATES OF AMERICA

Residence: ORINDA, CALIFORNIA

P.O. Address: 151 ARDITH DRIVE  
ORINDA, CA 94563

Full name of second joint inventor, if any: JOSHUA GOLDBERGER

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Country of Citizenship: UNITED STATES OF AMERICA

Residence: BERKELEY, CALIFORNIA

P.O. Address: 1329 HENRY STREET, APT. 1B  
BERKELEY, CA 94709

Full name of second joint inventor, if any: RONG FAN

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Country of Citizenship: PEOPLES REPUBLIC OF CHINA

Residence: EL CERRITO, CALIFORNIA

P.O. Address: 5550 CENTRAL AVENUE, #7  
EL CERRITO, CA 94850

Full name of second joint inventor, if any: YIYING WU

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Country of Citizenship: PEOPLES REPUBLIC OF CHINA

Residence: ALBANY, CALIFORNIA

P.O. Address: 257 WILSON STREET  
ALBANY, CA 94710

Full name of second joint inventor, if any: DEYU LI

Inventor's Signature: Li DeYu

Date: 08/18/2004 Country of Citizenship: PEOPLES REPUBLIC OF CHINA

Residence: ALBANY, CALIFORNIA

P.O. Address: 435 GOODING WAY, #460  
ALBANY, CA 94706

Full name of second joint inventor, if any: ARUN MAJUMDAR

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Country of Citizenship: UNITED STATES OF AMERICA

Residence: ORINDA, CALIFORNIA

P.O. Address: 151 ARDITH DRIVE  
ORINDA, CA 94563



AUG. 19. 2004 10:30AM

UCSB CHEM &amp; BIOCHEM DEPT.

NO. 0511 P. 9

Full name of second joint inventor, if any: JOSHUA GOLDBERGER

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Country of Citizenship: UNITED STATES OF AMERICA

Residence: BERKELEY, CALIFORNIA

P.O. Address: 1329 HENRY STREET, APT. 1B  
BERKELEY, CA 94709

Full name of second joint inventor, if any: RONG FAN

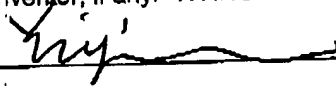
Inventor's Signature: \_\_\_\_\_

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P.O. Address: 5550 CENTRAL AVENUE, #7  
EL CERRITO, CA 94850

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P.O. Address: 257 WILSON STREET  
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ALBANY, CA 94706

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Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_ Country of Citizenship: UNITED STATES OF AMERICA

Residence: ORINDA, CALIFORNIA

P.O. Address: 151 ARDITH DRIVE  
ORINDA, CA 94563

CHECK PROPER BOX(ES) FOR ANY OF THE FOLLOWING ADDED PAGE(S) WHICH FORM A PART  
OF THIS DECLARATION

- ☐ Signature for third and subsequent joint inventors.  
Number of pages added \_\_\_\_\_.
- ☐ Signature by administrator(trix), executor(trix) or legal representative for deceased or  
incapacitated inventor.  
Number of pages added \_\_\_\_\_.
- ☐ Signature for inventor who refuses to sign or cannot be reached by person authorized  
under 37 CFR 1.47.  
Number of pages added \_\_\_\_\_.
- ☐ Signature by one joint inventor on behalf of deceased inventor(s) where legal  
representative cannot be appointed in time under 37 CFR 1.47.  
Number of pages added \_\_\_\_\_.
- ☐ Authorization of attorney(s) to accept and follow instructions from representative.

☒ **This Declaration ends with this page.**



**CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that the foregoing:

**Combined Declaration and Power of Attorney**

is being deposited with the United States Postal Service on 8/23/04 in  
an envelope as "Express Mail Post Office to Addressee" Mailing Label Number  
EV352301769US addressed to the: Commissioner for Patents, P.O. Box 1450,  
Alexandria, VA 22313-1450.

JOHN P. O'BANION

**(Type or print name of person mailing paper)**

**(Signature of person mailing paper)**